

CITY OF SAN DIEGO
Engineering and Capital Projects



**CONTRACTOR PRE-
QUALIFICATION
RENEWAL
QUESTIONNAIRE**

(October, 2003)

General Information

Effective February 1, 2003, contractors bidding as a prime contractor for City of San Diego public works projects which exceed \$250,000 must be pre-qualified. Pre-qualification status is effective for one year from the date of the initial approval letter and is renewable each year thereafter. To renew the pre-qualification status, contractors must submit a completed Contractor Pre-Qualification Renewal Questionnaire, their current financial statements, and an updated bond letter for review and scoring.

The type of financial statements required depends on the range of projects the contractor is interested in bidding. Please see the table below:

Project Range	Required financial statements
\$250,000 - \$1,000,000	COMPILED financial statements
\$1,000,001 - \$10,000,000	REVIEWED financial statements
\$10,000,001 and above	AUDITED financial statements

Complete and accurate answers to the questions in the Contractor Pre-Qualification Renewal Questionnaire, current and complete financial statements, and a current bond letter is required for renewal. These documents will be used as the basis for rating contractors with respect to the size and scope of contracts which contractors are qualified to bid. The City of San Diego reserves the right to check other sources available. Omission of requested information can result in automatic disqualification.

The Pre-Qualification Renewal Questionnaire and financial statements are not public records, subject to the Public Records Act, and are not open for public inspection. All information provided will be kept confidential to the extent permitted by law. The City of San Diego reserves the right to reject any and all Pre-Qualification Renewal Questionnaires and to waive any irregularities in the information contained therein.

Each Pre-Qualification Renewal Questionnaire, and any other submitted pages, must be signed under penalty of perjury by an individual who has the legal authority to bind the contractor on whose behalf that person is signing. If any information provided by a contractor is inaccurate, the contractor must immediately notify the City of San Diego and provide updated, accurate information in writing and under penalty of perjury.

You are encouraged to submit your Contractor Pre-Qualification Renewal Questionnaire, financial statements and bond letter to:

City of San Diego
Engineering and Capital Projects Department
Contractor Pre-Qualification Program
1010 Second Avenue, Suite 1200
San Diego, CA 92101

Quick Check

Have you submitted:

- ✓ Contractor Pre-Qualification Renewal Questionnaire
 - ☐ All questions answered
 - ☐ Signed and dated

- ✓ Compiled, Reviewed or Audited Financial Statements, dated within the last 12 months, reflecting the most recent fiscal year activity. Complete financial statements include the following components:
 - ☐ Balance Sheet
 - ☐ Statement of Income and Retained Earnings
 - ☐ Statement of Cash Flows
 - ☐ Notes
 - ☐ Supplemental Schedules

Note: If the firm is a subsidiary, subsidiary financial statements must be provided.

- ✓ Current Bond Letter
 - ☐ Dollar amount for a single project
 - ☐ Dollar amount for an aggregate program

- ✓ Any public works projects completed within the last 12 months. Complete **Form A**.

Note: Submit only if you wish the project dollar amount to be considered in recalculating your maximum bidding capacity. References will be interviewed.

PHASE I

Complete Part I before proceeding to Part II.

PART I: ESSENTIAL REQUIREMENTS FOR PRE-QUALIFICATION RENEWAL

Firm Name _____

Firm Address _____

Phone and Fax Numbers

Email Address

1. Does the Contractor possess a valid and current California Contractor's license for the project, or projects, for which it intends to submit a bid?
☐ Yes ☐ No
2. Does the Contractor have a liability insurance policy with a policy limit of at least \$1,000,000 per occurrence and \$2,000,000 aggregate (will vary dependent upon project size)?
☐ Yes ☐ No
3. Does the Contractor have a current workers' compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.?
☐ Yes ☐ No ☐ Not Applicable - Contractor has no employees
4. Have you attached a copy of your most recent Compiled, Reviewed or Audited Financial Statements, including accompanying notes and supplemental information?
☐ Yes ☐ No

NOTE: The Accountant's/Auditor's Report must be dated within the last twelve (12) months. Also, see the "General Information" page of this packet for the type of Financial Statements required.

5. Have you attached a letter of current bond-ability confirming name, address and telephone number of a contact for a California admitted surety company? The letter must also include both single and aggregate bonding capacity totals.
☐ Yes ☐ No

NOTE: The bond letter should be provided by the surety company or an authorized agent. A letter from an authorized agent must include a power of attorney and notary acknowledgment.

Contractor will be immediately disqualified if the answer to any of questions 1 through 5 is "No".

This document is not a public record.

NOTE: For purposes of this questionnaire, "Person" is defined as individuals who constitute the management of a corporate or other legal entity. Additionally, it includes any individual or other legal entity that: (a) directly or indirectly (e.g. through an affiliate), submits offers for or is awarded, or reasonably may be expected to submit offers for or be awarded, a contract, or a subcontract under a contract; or, (b) conducts business, or reasonably may be expected to conduct business, with the City as an agent or representative of another person.

6. In the last 12 months, has any Person in your firm had their Contractors license revoked?
☐ Yes ☐ No
7. In the last 12 months, has your firm, or any Person, been convicted of a crime involving the awarding of a contract of a government (local, state or federal) construction project, or the bidding or performance of a government contract?
☐ Yes ☐ No
8. In the last 12 months, has your firm, or any Person, been "defaulted" or "terminated" by an owner (other than for convenience of the project owner) or has your surety completed a contract for your firm?
☐ Yes ☐ No
9. At the time of submitting this pre-qualification renewal form, is your firm, or any Person, ineligible to bid on or be awarded any public works contract, or perform as a subcontractor on a public works contract?
☐ Yes ☐ No

If the answer is "Yes", state the beginning and ending dates of the period of debarment or non-responsibility: _____

10. Has your firm, or any Person, ever been found guilty in a criminal action, for making any false claim or material misrepresentation to any public agency or entity?
☐ Yes ☐ No
11. In the last 12 months, has your firm, or any Person, ever been convicted of a crime involving any federal, state or local law related to construction, including acts of dishonesty?
☐ Yes ☐ No

Contractor will be immediately disqualified if the answer to either questions 6, 7, 8, 10 or 11 is "Yes". If the answer to question 9 is "Yes", and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.

This document is not a public record.

PHASE I

PART II: ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE, COMPLIANCE WITH CIVIL AND CRIMINAL LAWS

If a change has occurred in your business structure in the last 12 months, please note it in the appropriate section. If no change has occurred, please indicate **NO CHANGE**.

A. Current Organization and Structure of the Business

For Firms that Are Corporations:

- 1a. Date incorporated: _____
- 1b. Under the laws of what state: _____
- 1c. Is the status of your corporation still valid? _____
- 1d. Provide all the following information for each Person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer) or (b) the owner of at least ten percent (10%) of the corporation's stock:

Name	Position	Years with Co.	% Ownership	Taxpayer Identification

- 1e. Identify every construction firm that any Person listed above has been associated with (as owner, general partner, limited partner or officer) in the last 12 months.

NOTE: For this question, "owner" and "partner" refer to ownership of ten percent (10%) or more of the business, or ten percent (10%) or more of its stock if the business is a corporation.

Name	Construction Firm	Date of Participation with Firm

This document is not a public record.

For Firms That Are Partnerships:

- 1a. Date of formation: _____
- 1b. Under the laws of what state: _____
- 1c. Is the status of your partnership still valid? _____
- 1d. Provide all the following information for each Person who owns ten percent (10%) or more of the firm:

Name	Position	Years with Co.	% Ownership	Taxpayer Identification

- 1e. Identify every construction firm that any Person listed above has been associated with (as owner, general partner, limited partner or officer) in the last 12 months.

NOTE: For this question, “owner” and “partner” refer to ownership of ten percent (10%) or more of the business, or ten percent (10%) or more of its stock, if the business is a corporation.

Name	Construction Firm	Date of Participation with Firm

This document is not a public record.

For Firms With a Joint Venture License:

- 1a. Date of commencement of joint venture _____
- 1b. Is the status of your joint venture still valid? _____
- 1c. Provide all of the following information for each firm that is a member of the joint venture that expects to bid on one or more projects:

Name of Firm	% Ownership of Joint Venture

- 1d. Provide all the following information for each Person who owns ten percent (10%) or more of the joint venture:

Name	Position	Years with Co.	% Ownership	Taxpayer Identification

NOTE: New joint ventures are not excluded from forming on a project by project basis after the pre-qualification process. Please contact the Pre-Qualification Program if you have any questions.

This document is not a public record.

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business _____
- 1b. Social Security number of company owner _____
- 1c. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) in the last 12 months.

Name	Construction Firm	Date of Participation with Firm

This document is not a public record.

B. History of the Business and Organizational Performance

1. Has your firm filed for bankruptcy in the last 12 months?

☐ Yes ☐ No

(If Yes, attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.)

2. List all California contractor license numbers, classifications and expiration dates held by your firm and its Persons: _____

3. State your firm's gross revenues for each of the last three (3) years:

Year	Gross Revenue

C. Compliance with Safety, Workers Compensation, Prevailing Wage, Apprentice Laws and EEO.

4. In the last 12 months, has CAL OSHA cited and assessed penalties against your firm for any "serious", "willful" or "repeated" violations of its safety or health regulations?

☐ Yes ☐ No

(If Yes, explain on separate signed pages)

NOTE: If you have filed an appeal of a citation, and the Occupational Health Appeals Board has not yet ruled on the appeal, you must answer "Yes" to this question.

5. In the last 12 months, has any other OSHA jurisdiction cited and assessed penalties against your firm for any "serious", "willful" or "repeated" violations of its safety or health regulations?

☐ Yes ☐ No

(If Yes, explain on separate signed pages)

NOTE: If you have filed an appeal of a citation, and the Occupational Health Appeals Board has not yet ruled on the appeal, you must answer "Yes" to this question.

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6. In the last 12 months, has the EPA, any Air Quality Management District or any Regional

Water Quality Control Board cited and assessed penalties against your firm?

☐ Yes ☐ No

(If Yes, explain on separate signed pages)

7. How often do you hold documented safety meetings for construction employees and field supervisors during the course of a project? _____

8. List your firm's Experience Modification Rate (EMR) - California workers' compensation insurance for the current year: _____

NOTE: If your EMR is rated 1.00 or higher, attach a letter of explanation.

9. In the last 12 months, was there any occasion(s) which your firm was required, by a compliance agency, to pay either back wages or penalties for your own firm's failure to comply with the state's and/or the Federal Davis-Bacon prevailing wage laws?

☐ Yes ☐ No

(If Yes, explain on separate signed pages)

NOTE: This question refers only to your own firm's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.

10. List all instances, within the last 12 months, where a finding of discrimination was made against your firm or any of its Persons in a legal or administrative proceeding alleging that the firm discriminated against its employees, subcontractors, vendors, or suppliers, **and** a description of the status or resolution of that complaint, including any remedial action taken.

This document is not a public record.

PART III. PROJECTS COMPLETED IN THE LAST 12 MONTHS

9. Using **Form A**, please provide the following information on projects completed within the last 12 months. *Note: The project cost will be used in the maximum bidding capacity calculation.*

Names, references and phone numbers must be current and verifiable. References will be contacted and interviewed. If the City is not able to contact a reference at the given phone number, that reference will not be used or considered in the evaluation.

✓	Project Name
✓	Location
✓	Owner
✓	Owner Contact (name and phone number)
✓	Architect or Engineer
✓	Architect or Engineer (name and phone number)
✓	Construction Manager (name and phone number)
✓	Description of Project, Scope of Work Performed
✓	Total Value of Construction (including change orders)
✓	Original Schedule Completion Date
✓	Time Extension Granted (number of days)
✓	Actual Date of Completion

I, the undersigned, certify and declare that I have read the pre-qualification renewal questionnaire and all its contents. I further declare, under penalty of perjury, that I have answered, or caused to be answered, all questions, based on my knowledge and belief, and that they are true and correct.

Date

Name and Title

If this form is completed by someone other than the above signer, please print name and title here:

Date

Name and Title

This document is not a public record.

Firm Name _____

CONSTRUCTION PROJECTS COMPLETED IN THE LAST 12 MONTHS

Names, references and phone numbers must be current and verifiable.

References will be contacted and interviewed.

(If the City is not able to contact a reference at the given phone number, that reference will not be used or considered in the evaluation.)

Copy this sheet as necessary and provide the following information:

Project Name:	_____		
Location:	_____		
Owner:	_____		
Contact:	_____	Phone:	_____
Architect/Engineer:	_____		
Contact:	_____	Phone:	_____
Construction Manager:	_____	Phone:	_____
Description of Project, Scope of Work Performed:	_____		

Performed work as:	Prime Contractor:	<input type="checkbox"/>	Sub Contractor:	<input type="checkbox"/>
Total Value of Construction (including change orders):*	_____			
Original Scheduled Completion Date:	_____	Actual Date of Completion:	_____	
Extension Time Granted (number of days):	_____			

*Verifiable dollar amounts will be used as part of the bidding capacity calculation.

Note: The City of San Diego reserves the right to check all other sources available.

FORM A